



Section 8  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant

: Eun Jun Kwak

Serial No.

: 09/897,742

Filed

: July 2, 2001

For

: Method for Creating Caricature

Art Unit 2621

Docket No. 3598-15

Assistant Commissioner for Patents

Washington, D.C. 20231

COMMUNICATION

Sir:

Enclosed are the signed declaration for inventor, declaration claiming small entity status, Form PTO SB/17, Form PTO 1449 and references, priority document and copy of Confirmation No. 8177 - Notice to File Missing Parts of Application.

The fee should be taken from applicants' attorney's deposit account No. 01-2940.

Dated: New York, NY  
October 2, 2001

Respectfully Submitted,

AUSLANDER & THOMAS

M. Arthur Auslander, 18,376  
Attorneys for Applicant  
505 Eighth Avenue  
New York, NY 10018  
212-594-6900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Eun Jun Kwak  
Serial No. : 09/897,742  
Filed : July 2, 2001  
For : Method for Creating Caricature



CERTIFICATE OF MAILING

I hereby certify that the missing parts are being deposited with the United States Patent and Trademark Office, deposited as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on the 2nd day of October, 2001.

AUSLANDER & THOMAS

By

  
Raysa Oker

Dated: October 2, 2001



# FREE TRANSMITTAL

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$)~~435~~.00

## Complete If Known

Application Number 09/897,742  
Filing Date July 2, 2001  
First Named Inventor Eun-Jun Kwak  
Examiner Name  
Group / Art Unit 2621  
Attorney Docket No. 3598-15

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  
Deposit Account Number 01-2940  
Deposit Account Name Auslander & Thomas  
☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 ☐ Charge the Issue Fee Set In 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:  
☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 790	201 395	Utility filing fee	370
106 330	206 165	Design filing fee	
107 540	207 270	Plant filing fee	
108 790	208 395	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1)			(\$) <del>370</del>

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 22	203 11	Claims in excess of 20
102 82	202 41	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 82	209 41	** Reissue independent claims over original patent
110 22	210 11	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)~~370~~

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 950	217 475	Extension for reply within third month	
118 1,510	218 755	Extension for reply within fourth month	
128 2,080	228 1,030	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,320	241 660	Petition to revive - unintentional	
142 1,320	242 660	Utility issue fee (or reissue)	
143 450	243 225	Design issue fee	
144 670	244 335	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
128 240	128 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 790	246 395	Filing a submission after final rejection (37 CFR 1.129(e))	
149 790	249 395	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)~~435~~.00

## SUBMITTED BY

Typed or Printed Name M. Arthur Auslander

Signature

*M. Arthur Auslander*

Date

10/2/01

## Complete (if applicable)

Reg. Number 18,376

Deposit Account User ID CLUB28

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/897,742	07/02/2001	Eun-Jun Kwak	3598-15

M. Arthur Auslander  
Auslander & Thomas  
505 Eighth Avenue  
New York, NY 10018-6505



CONFIRMATION NO. 8177  
FORMALITIES LETTER



\*OC00000006453184\*

Date Mailed: 08/21/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 420.

*A copy of this notice **MUST** be returned with the reply.*

10/05/2001 SZEWDIE1 00000003 012940 09897742

01 FC:201 370.00 CH  
02 FC:205 65.00 CH

*mt*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY